

AGENCY STRATEGIC PLAN

FOR THE FISCAL YEARS

2003 - 2007



Arkansas Science & Technology Authority

October 26, 2001
Revised August 13, 2002

AGENCY STRATEGIC PLAN APPROVAL FORM

FOR THE FISCAL YEARS

2003 - 2007

**John W. Ahlen, Ph.D.
President
Arkansas Science & Technology Authority**

TABLE OF CONTENTS

AGENCY:

MISSION.....	Page 1
GOALS	Page 1

RESEARCH AND COMMERCIALIZATION PROGRAM:

DEFINITION	Page 2
GOALS, OBJECTIVES, STRATEGIES	Page 2
PERFORMANCE MEASURES.....	Page 4

TECHNOLOGY AND MANUFACTURING EXTENSION PROGRAM:

DEFINITION	Page 6
GOALS, OBJECTIVES, STRATEGIES	Page 6
PERFORMANCE MEASURES.....	Page 7

MANAGEMENT SERVICES PROGRAM:

DEFINITION	Page 9
GOALS, OBJECTIVES, STRATEGIES	Page 9
PERFORMANCE MEASURES.....	Page 10

STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Agency Mission Statement: To exert leadership in and to give direction to a broad spectrum of programs and services designed to gain for this state and its people the benefits and opportunities to be realized through advanced science and technology.	

AGENCY GOAL 1: To plan, promote, influence, and support with high quality programs and services the commercialization of research innovations thereby helping to grow the Arkansas economy and increase per capita income.

STRATEGIC PLAN

Agency Name		Arkansas Science & Technology Authority
Program		Research and Commercialization Program
Program Authorization		ACA 15-3-109(a) (1) & 15-3-110 (a) – (c) (2); Basic Research Grant Program Rules (August 1987); ACA 15-3-201 through 15-3-208 ACA 15-3-120 through 15-3-122; 15-3-109(a)(6) & 15-3-110(e)(1) through (4) Seed Capital Investment Program Rules (November 1995) & Technology Development Rules (June 1993) ACA 15-3-109(a)(4); 15-3-130 through 15-3-134; 15-3-109(a)(2) & 15-3-110(d)(1) through (4); Applied Research Grant Program Rules (August 1987), Technology Transfer Assistance Grant Program Rules (April 1994) and Centers for Applied Technology Program Rules (October 1998)
Program Definition: Funds-Center Code: _____		The Research and Commercialization Program supports strategic state investments in college and university research activities, development of new products, and the commercialization of new technology.
AGENCY GOAL(S) #	1	
Anticipated Funding Sources for the Program:		General Revenue, General Improvement, and Cash Funds

GOAL 1: To stimulate the higher-education research infrastructure to generate more innovations through research activities, around which to develop new products and knowledge-based companies.

(Sub-Funds Center Code:)

OBJECTIVE 1: To increase innovations by increasing federal research and development expenditures in Arkansas.

(Sub-Funds Center Code:)

STRATEGY 1: Fund basic research to make university scientists, technologists, and engineers more nationally competitive for federal research funds.

(Sub-Funds Center Code:)

STRATEGY 2: Support larger-scale research projects and research infrastructure investments that make higher education institutions more

STRATEGIC PLAN

nationally competitive for federal research funds.

(Sub-Funds Center Code:)

STRATEGY 3: Support strategic research and research infrastructure projects that are relevant to the state's economic growth and that make higher education institutions more nationally competitive for federal research funds.

(Sub-Funds Center Code:)

GOAL 2: To promote and influence the creation of emerging knowledge-based companies and facilitate increased private equity investments in such firms, thereby creating more jobs for knowledge workers and increasing in-state employment opportunities for Arkansas college graduates.

(Sub-Funds Center Code:)

OBJECTIVE 1: To increase knowledge worker jobs through entrepreneurship and new company formation.

(Sub-Funds Center Code:)

STRATEGY 1: Fund seed capital investments, thereby increasing deal flow for private equity investments.

(Sub-Funds Center Code:)

STRATEGY 2: Develop new products or services, around which to create new knowledge-based companies.

(Sub-Funds Center Code:)

STRATEGY 3: Support SBIR (Small Business Innovation Research Program) efforts (i.e. proposal preparation) in new enterprises and leverage Phase I & II SBIR awards (with all relevant programmatic activities of the Authority).

(Sub-Funds Center Code:)

STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Research and Commercialization Program

PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2003	FISCAL YEAR 2004	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007
[1.] Output measurement of Goal 1, Objective 1: Size of basic research grant annual investment [at \$40,000 per project]	Project management, internal database, and Framework document	\$800,000	\$800,000	\$1,000,000	\$1,200,000	\$1,400,000
[2.] Efficiency measurement of Goal 1, Objective 1: Five-year rate of return of federal follow-on awards as a ratio to basic research investments by fiscal year	Surveys, ROI Procedure, and internal database	0.66X	2X	4X	6X	8X
[3.] Output measurement of Goal 1, Objective 1: Size of research matching and strategic research annual investment	Project management, internal database, and Framework document	\$1,125,000	\$2,000,000	\$2,500,000	\$3,750,000	\$5,000,000
[4.] Efficiency measurement of Goal 1, Objective 1: Federal funds leveraged by ARMF and R&D Plan implementation divided by total federal R&D funds in AR	Project management, internal database, and Framework document	1:1	1:1	1:1	1:1	1:1
[5.] Output measurement of Goal 2, Objective 1: Seed Capital Invested in terms of number of dollars invested	Project management, Internal database and Framework document	\$1.0 million in 3 deals - SCIP Funds depleted	\$1.1 million in 3 deals	\$1.2 million in 3 deals	\$1.3 million in 3 deals	\$1.4 million in 3 deals

STRATEGIC PLAN

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2003	FISCAL YEAR 2004	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007
[6.] Output measurement of Goal 2, Objective 1: Number of companies and new enterprises enabled	Project management, internal databases, and Framework document	14	14	14	14	14

STRATEGIC PLAN

Agency Name		Arkansas Science & Technology Authority
Program		Technology and Manufacturing Extension Program
Program Authorization		ACA 15-3-109(a)(4); 15-3-130 through 15-3-134; 15-3-109(a)(2) & 15-3-110(d)(1) through (4); Applied Research Grant Program Rules (August 1987), Technology Transfer Assistance Grant Program Rules (April 1994) and Centers for Applied Technology Program Rules (October 1998)
Program Definition: Funds-Center Code: _____		The Technology and Manufacturing Extension Program plans strategic state investments in, evaluates proposals and applications for, and supports Manufacturing Extension, Technology Transfer, and Applied Research.
AGENCY GOAL(S) #	1	
Anticipated Funding Sources for the Program:		General Revenue, Special Revenue, Federal Funds

GOAL 1: To maintain and transform existing enterprises into knowledge-based companies and increase their global competitiveness.
 (Sub-Funds Center Code:)

OBJECTIVE 1: To strengthen existing Arkansas enterprises by improving their quality, productivity, and global competitiveness and transforming them into world-class firms.
 (Sub-Funds Center Code:)

STRATEGY 1: Support technology transfer to existing enterprises.
 (Sub-Funds Center Code:)

STRATEGY 2: Institutionalize and support the Arkansas Manufacturing Extension Network, consistent with a federally mandated focus on manufacturing.
 (Sub-Funds Center Code:)

STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Technology and Manufacturing Extension Program

PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2003	FISCAL YEAR 2004	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007
[1.] Output measurement for Goal 1, Objective 1: Applied research investment in public-private partnerships	Program management, internal database, and Framework document	\$80,000 3 awards	\$500,000	\$500,000	\$500,000	\$500,000
[2.] Output measurement for Goal 1, Objective 1: Technology Transfer investments	Program management, internal database, and Framework document		\$427,000	\$427,000	\$427,000	\$427,000
[3.] Output measurement for Goal 1, Objective 1: Manufacturing Extension investments	Program management, internal database, and Framework document	-	\$700,000	\$700,000	\$850,000	\$850,000
[4.] Efficiency measurement for Goal 1, Objective 1: Manufacturing Extension State Investment Leverage Ratio (Non-State Funding/State Funding)	Internal databases and Network survey	-	1.4	1.5	1.5	1.5
[5.] Outcome measurement for Goal 1, Objective 1: Number of clients reporting quantitative impact more than \$100 (based on survey responses); i.e., the number of clients quantifying the expected impact of the project	Program management and internal databases	18	21	22	25	26

STRATEGIC PLAN

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2003	FISCAL YEAR 2004	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007
[6.] Outcome measurement for Goal 1, Objective 1: Number of jobs created or retained	Internal databases and Network survey	300	370	400	450	470
[7.] Output measurement for Goal 1, Objective 1: Number of enterprises assisted per quarter	Program management and internal databases	60	63	66	75	78

STRATEGIC PLAN

Agency Name		Arkansas Science & Technology Authority
Program		Management Services Program
Program Authorization		ACA 15-3-101 through 208; Agency Rules and guidelines, Board documents; applicable Executive Orders, Federal Laws, Federal Regulations, etc.
Program Definition: Funds-Center Code: _____		The Management Services Program establishes the quality framework for governance of the Authority and administration of its programs and services.
AGENCY GOAL(S) #	1	
Anticipated Funding Sources for the Program:		General Revenue, Special Revenue, Federal Funds

GOAL 1: To become a more effective and efficient organization through the application of quality management.
(Sub-Funds Center Code:)

OBJECTIVE 1: To administer programs more effectively and efficiently.
(Sub-Funds Center Code:)

STRATEGY 1: Implement quality management practices throughout the agency in order to carry out the Authority's mission and to meet all performance targets.
(Sub-Funds Center Code:)

STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Management Services Program

PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2003	FISCAL YEAR 2004	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007
[1.] Outcome measurement for Goal 1, Objective 1: Percent of performance targets met	Strategic Plan Implementation	100%	100%	100%	100%	100%
[2.] Efficiency measurement for Goal 1, Objective 1: Percent of agency staff and budget in the Management Services Program compared to total agency positions and budget	Strategic Plan Implementation, budget expenditures	100% / 25%	100% / 25%	100% / 25%	100% / 25%	100% / 25%
[3.] Effort measurement for Goal 1, Objective 1: Information technology budget as a percent of total budget	Strategic Plan Implementation, budget expenditures	2%	3%	3%	3.5%	3.5%
[4.] Effort measurement for Goal 1, Objective 1: Number of proprietary information systems maintained by agency staff or maintained through contractual services	Strategic Plan Implementation	1	1	1	1	1
[5.] Outcome measurement for Goal 1, Objective 1: Number of prior year audit findings repeated in subsequent audit	Strategic Plan Implementation	0	0	0	0	0